UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/722,373	11/25/2003	Karl Goger	13913-047001/2002P10108US	4617

32864 7590 05/31/2007	**EXAMINER**
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Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

	Application No.	Applicant(s)
Office Action Summary	10/722,373	GOGER, KARL
	Examiner	**Art Unit**	
	Navneet K. Ahluwalia	2166	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1) ☒ Responsive to communication(s) filed on <u>07 March 2007</u>.

2a) ☐ This action is **FINAL**.   2b) ☒ This action is non-final.

3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4) ☒ Claim(s) <u>1-6,8,10-14,17,19-24,27 and 29 - 30</u> is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5) ☐ Claim(s) _____ is/are allowed.

6) ☒ Claim(s) <u>1-6,8,10-14,17,19-24,27 and 29 - 30</u> is/are rejected.

7) ☐ Claim(s) <u>7,9,15,16,18,25,26 AND 28</u> is/are objected to.

8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9) ☐ The specification is objected to by the Examiner.

10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a) ☐ All   b) ☐ Some * c) ☐ None of:

      1. ☐ Certified copies of the priority documents have been received.

      2. ☐ Certified copies of the priority documents have been received in Application No. _____.

      3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☐ Notice of References Cited (PTO-892)

2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3) ☐ Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date _____.

4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ .

5) ☐ Notice of Informal Patent Application

6) ☐ Other: _____.

DETAILED ACTION

1.   The application has been examined. Claims 1 – 30 are pending in this office
action.

Response to Arguments

2.   Claims 1 – 30 are pending in this Office Action. After a further search and a
thorough examination of the present application, claims 1 – 30 remain rejected.

3.   Applicant's arguments filed with respect to claims 1 – 30 have been fully
considered but they are not persuasive.

*Applicant argues that there is no teaching in Saito of an access layer operable to
control access to an electronic document nor an expert system providing authorization
information to an access layer in response to a request.*

*In response to Applicant's argument, the Examiner respectfully disagrees as
Saito teaches the access layer operable to control access to an electronic document
and the provision of authorization of access to information upon request in column 8
lines 11 – 34. Saito clearly discloses the access right settings and access privileges that
comprise of authorization of access of the document portions. Furthermore, Saito
explains the set-up of right of access to a structured document in column 7 lines 34 –
47.*

*Claims 12 and 21 recite the same subject matter and for the same reasons as
cited above the rejection is maintained.*

Hence, Applicant's arguments do not distinguish the claimed invention over the prior art

of record. In light of the foregoing arguments 103 rejections are sustained.

Allowable Subject Matter

4.   Claims 7, 9, 15, 16, 18, 25, 26 and 28 are objected to as being dependent upon a

rejected base claim, but would be allowable if rewritten in independent form including all

of the limitations of the base claim and any intervening claims.

Claim Rejections - 35 USC § 103

5.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set
> forth in section 102 of this title, if the differences between the subject matter sought to be patented and
> the prior art are such that the subject matter as a whole would have been obvious at the time the
> invention was made to a person having ordinary skill in the art to which said subject matter pertains.
> Patentability shall not be negatived by the manner in which the invention was made.

6.   Claims 1 – 6, 8, 10 – 14, 17, 19 – 24, 27 and 29 – 30 are rejected under 35

U.S.C. 103(a) as being unpatentable over Saito et al. ('Saito' herein after) (US

6,599,324 B2) further in view of Schneck et al. ('Schneck' herein after) US 6,314,409

B2.

With respect to claim 1,

        Saito discloses a computer system for protecting electronic documents,

comprising:

- a repository for storing an electronic document having a document attribute (Figure 2, lines 22 – 27, Saito);

- an access layer operable to control access to the electronic document, wherein the access layer is used by an accessor to access at least one portion of the electronic document, the accessor having an accessor attribute (Figure 8 and column 2 lines 11 – 24, Saito);

- a rule set (column 8 lines 3 – 9, Saito); and

- an expert system, wherein the expert system provides authorization information to the access layer in response to a request, and wherein the expert system is operable to determine the authorization information comprising an access behavior with regards to the at least one portion, and wherein the expert system determines access behavior by evaluating rules of the rule set with reference at least to the document attribute and the accessor attribute when the accessor tries to access the at least one portion using the access layer (column 8 lines 12 – 34, Saito).

Saito however does not disclose the rule set as claimed.

Schneck teaches the rule set as claimed (column 34 lines 28 – 43, Schneck).

It would have been obvious to one of ordinary skill in the art of data processing at the time of the present invention to combine the teachings of cited references because both the inventions deal with access rights and management of the documents. Also Schneck's system would provide control access not only for the document as a whole

but also in portions and this would be provided using the rules from the rule set (column 7 lines 23 – 31, Schneck).

7.   Claims 2 – 6, 8, and 10 – 11 are rejected under the same rationale given for claim 1. The citations of the elements claimed and taught are listed below.

With respect to claim 2,

Schneck teaches the computer system of claim 1, where the rule set is stored in a knowledge base and the access behavior is defined in the knowledge base (column 10 lines 1 – 5 and column 19 lines 30 – 55, Schneck).

With respect to claim 3,

Saito discloses the computer system of claim 1, where the expert system returns the access behavior to the access layer to control the access of the accessor (Figure 4, column 9 lines 19 – 32, Saito).

With respect to claim 4,

Saito discloses the computer system of claim 1, where the rule set has a rule that uses the accessor attribute and the document attribute to assert a condition on the basis of a value of the accessor attribute and a value of the document attribute (column 10 lines 17 – 29, Saito).

With respect to claim 5,

Saito discloses the computer system of claim 1, where the access layer utilizes a

generic interface implemented by the document to access the document attribute from

the document (column 10 lines 45 – 55, Saito).

With respect to claim 6,

Saito discloses the computer system of claim 5, where the expert system utilizes

the generic interface implemented by the document to retrieve structure meta data of

the document that describes the structure of the document (column 11 lines 15 – 30,

Saito).

With respect to claim 8,

Saito discloses the computer system of claim 6, where the structure meta data

has at least one structure element that is associated with a key that influences the

access behavior for the at least one structure element (column 13 lines 4 – 13, Saito).

With respect to claim 10,

Schneck teaches the computer system of claim 1, where at least one of:

- the document attribute comprises at least one of document type, document

    structure information, document meta data, document relationship

    information, and document access behavior (column 7 lines 2 – 11, Saito);

- the accessor attribute comprises at least one of user role, user group,

  process type, and application type; the access behavior comprises at least

  one of hidden, protected, read, modify, delete, create, print, copy, transport,

  archive, and custom access behavior (column 25 lines 20 – 45, Schneck);

  and

- the accessor comprises at least one of user, application, and process (column

  7 lines 35 – 45, Saito).

With respect to claim 11,

Schneck teaches the computer system of claim 1, where a change of the rule set

affects substantially simultaneously the access behavior to the at least one portion

without the need to change the document or the accessor (column 7 lines 22 – 40,

Schneck).

With respect to claim 12,

Saito discloses a method for controlling access to electronic documents,

comprising:

- receiving a request of an accessor to access at least one portion of an

  electronic document stored in a repository (Figure 2, lines 22 – 27, Saito),

  with the electronic document having a document attribute and the accessor

  having an accessor attribute (Figure 8 and column 2 lines 11 – 24, Saito);

- requesting authorization information from an expert system with regards to the authorization of the accessor to the at least one portion in response to receiving the request (column 8 lines 3 – 9, Saito);

- receiving from the expert system the authorization information including an access behavior with regards to the at least one portion, where the access behavior is determined by applying rules of a rule set to data comprising at least the document attribute and the accessor attribute; and granting the accessor access to the at least one portion according to the access behavior (column 8 lines 12 – 34, Saito).

Saito however does not disclose the rule set as claimed.

Schneck teaches the rule set as claimed (column 34 lines 28 – 43, Schneck).

It would have been obvious to one of ordinary skill in the art of data processing at the time of the present invention to combine the teachings of cited references because both the inventions deal with access rights and management of the documents. Also Schneck's system would provide control access not only for the document as a whole but also in portions and this would be provided using the rules from the rule set (column 7 lines 23 – 31, Schneck).

8.   Claims 13 – 14, 17, and 19 – 20 are rejected under the same rationale given for claim 12. The citations of the elements claimed and taught are listed below.

With respect to claim 13,

Schneck teaches the method of claim 12, where the access behavior is defined

in a knowledge base and the rule set is stored in the knowledge base (column 10 lines 1

– 5 and column 19 lines 30 – 55, Schneck).

With respect to claim 14,

- Saito discloses the method of claim 12, where the rule set has a rule that

    uses the accessor attribute and the document attribute to assert a condition

    on the basis of a value of the accessor attribute and a value of the document

    attribute (column 10 lines 17 – 29, Saito).

With respect to claim 17,

Saito discloses the method of claim 12, further comprising: retrieving structure

meta data of the document that describes the structure of the document (column 13

lines 4 – 13, Saito).

With respect to claim 19,

Schneck teaches the method of claim 12, where the access behavior comprises

at least one of hidden, protected, read, modify, delete, create, print, copy, transport,

archive, and custom access behavior (column 25 lines 20 – 45, Schneck).

With respect to claim 20,

Schneck teaches the method of claim 12, further comprising: changing the rule set and affecting substantially simultaneously the access behavior to the at least one portion without the need to change the document or the accessor (column 7 lines 22 – 40, Schneck).

With respect to claim 21,

Saito discloses a computer program product, tangibly embodied on a machine readable medium, comprising instructions operable to cause a data processing apparatus to:

- receive a request from an accessor to access at least one portion of an electronic document stored in a repository (Figure 2, lines 22 – 27, Saito), with the electronic document having a document attribute and the accessor having an accessor attribute (Figure 8 and column 2 lines 11 – 24, Saito);

- request authorization information from an expert system with regards to the authorization of the accessor to the at least one portion in response to receiving the request (column 8 lines 3 – 9, Saito);

- receive from the expert system the authorization information including an access behavior with regards to the at least one portion, where the access behavior is determined by applying rules of a rule set to data comprising at least the document attribute and the accessor attribute; and grant the accessor access to the at least one portion according to the access behavior (column 8 lines 12 – 34, Saito).

Saito however does not disclose the rule set as claimed.

Schneck teaches the rule set as claimed (column 34 lines 28 – 43, Schneck).

It would have been obvious to one of ordinary skill in the art of data processing at the time of the present invention to combine the teachings of cited references because both the inventions deal with access rights and management of the documents. Also Schneck's system would provide control access not only for the document as a whole but also in portions and this would be provided using the rules from the rule set (column 7 lines 23 – 31, Schneck).

9.   Claims 22 – 24, 27, 29 – 30 are rejected under the same rationale given for claim 21. The citations of the elements claimed and taught are listed below.

With respect to claim 22,

Schneck teaches the product of claim 21, where access to the at least one portion of the electronic document is provided only through an access layer comprising the instructions to receive a request, request authorization, receive from the expert system authorization information, and grant the accessor access (column 7 lines 20 – 35, Schneck).

With respect to claim 23,

Schneck teaches the product of claim 21, where the access behavior is defined in a knowledge base and the rule set is stored in the knowledge base (column 10 lines 1

– 5 and column 19 lines 30 – 55, Schneck).

With respect to claim 24,

- Saito discloses the product of claim 21, where the rule set has a rule that

  uses the accessor attribute and the document attribute to assert a condition

  on the basis of a value of the accessor attribute and a value of the document

  attribute (column 10 lines 17 – 29, Saito).

With respect to claim 27,

Saito discloses the product of claim 21, wherein the instructions are further

operable to: retrieve structure meta data of the document that describes the structure of

the document (column 13 lines 4 – 13, Saito).

With respect to claim 29,

Schneck teaches the product of claim 21, where the access behavior comprises

at least one of hidden, protected, read, modify, delete, create, print, copy, transport,

archive, and custom access behavior (column 25 lines 20 – 45, Schneck).

With respect to claim 30,

Schneck teaches the product of claim 21, wherein the instructions are further

operable to: change the rule set and affecting substantially simultaneously the access

behavior to the at least one portion without the need to change the document or the

accessor (column 7 lines 22 – 40, Schneck).

Contact Information

Any inquiry concerning this communication or earlier communications from the

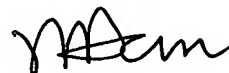examiner should be directed to Navneet K. Ahluwalia whose telephone number is 571-

272-5636.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Alam T. Hosain can be reached on 571-272-3978. The fax phone number

for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the

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Navneet K. Ahluwalia
Examiner
Art Unit 2166

Dated: 05/24/2007

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